



DM 1635

PTO/SB/21 (02-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

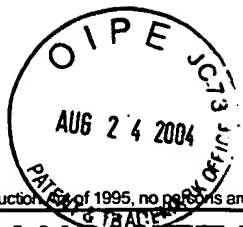
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TRANSMITTAL FORM <small>(to be used for all correspondence after initial filing)</small>	Application Number	09/731,941	
	Filing Date	December 6, 2000	
	First Named Inventor	James M. ALLEN	
	Art Unit	1635	
	Examiner Name	B. Whiteman	
Total Number of Pages in This Submission	15 + 86 Refs.	Attorney Docket Number	226272001403

ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form (1 page in duplicate) <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement (4 pages) <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Technology Center (TC) <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): 1. Form PTO-1449 (4 pages in duplicate) 2. References (86) 3. Return receipt postcard
<div>Remarks</div>		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	MORRISON & FOERSTER LLP (Customer No. 25226) Jie Zhou - 52,395
Signature	
Date	August 16, 2004

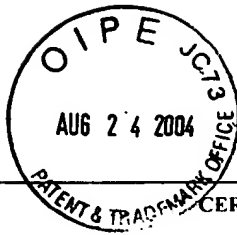
CERTIFICATE OF HAND DELIVERY	
I hereby certify that this correspondence is being hand delivered to the Commissioner for Patents, U.S. Patent and Trademark Office, 220 20 th Street South, Customer Window, Mail Stop Amendment, Crystal Plaza Two, Lobby, Room 1B03, Arlington, Virginia 22202, on the date shown below.	
Date: August 24, 2004	Signature: (Shari Hall-White)



PTO/SB/17 (10-03)
Approved for use through 7/31/2006. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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FEE TRANSMITTAL for FY 2004 <small>Effective 10/01/2003. Patent fees are subject to annual revision.</small>		Complete if Known																																	
<input checked="" type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27		Application Number	09/731,941																																
TOTAL AMOUNT OF PAYMENT (\$)		Filing Date	December 6, 2000																																
180.00		First Named Inventor	James M. ALLEN																																
		Examiner Name	B. Whiteman																																
		Art Unit	1635																																
		Attorney Docket No.	226272001403																																
METHOD OF PAYMENT (check all that apply)		FEE CALCULATION (continued)																																	
<input type="checkbox"/> Check <input type="checkbox"/> Credit Card <input type="checkbox"/> Money Order <input type="checkbox"/> Other <input type="checkbox"/> None		3. ADDITIONAL FEES																																	
<input checked="" type="checkbox"/> Deposit Account: Deposit Account Number: 03-1952 Deposit Account Name: Morrison & Foerster LLP																																			
The Director is authorized to: (check all that apply) <input checked="" type="checkbox"/> Charge fee(s) indicated below <input checked="" type="checkbox"/> Credit any overpayments <input checked="" type="checkbox"/> Charge any additional fee(s) or any underpayment of fee(s) <input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.																																			
FEE CALCULATION																																			
1. BASIC FILING FEE																																			
<table border="1"><thead><tr><th>Large Entity</th><th>Small Entity</th><th>Fee Description</th><th>Fee Paid</th></tr><tr><th>Fee Code (\$)</th><th>Fee Code (\$)</th><th></th><th></th></tr></thead><tbody><tr><td>1001 770</td><td>2001 385</td><td>Utility filing fee</td><td></td></tr><tr><td>1002 340</td><td>2002 170</td><td>Design filing fee</td><td></td></tr><tr><td>1003 530</td><td>2003 265</td><td>Plant filing fee</td><td></td></tr><tr><td>1004 770</td><td>2004 385</td><td>Reissue filing fee</td><td></td></tr><tr><td>1005 160</td><td>2005 80</td><td>Provisional filing fee</td><td></td></tr><tr><td colspan="2">SUBTOTAL (1)</td><td>(\$)</td><td>0.00</td></tr></tbody></table>		Large Entity	Small Entity	Fee Description	Fee Paid	Fee Code (\$)	Fee Code (\$)			1001 770	2001 385	Utility filing fee		1002 340	2002 170	Design filing fee		1003 530	2003 265	Plant filing fee		1004 770	2004 385	Reissue filing fee		1005 160	2005 80	Provisional filing fee		SUBTOTAL (1)		(\$)	0.00		
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2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE																																			
<table border="1"><thead><tr><th>Total Claims</th><th>Extra Claims</th><th>Fee from below</th><th>Fee Paid</th></tr></thead><tbody><tr><td>41</td><td>-44** = 0</td><td>9.00</td><td>0.00</td></tr><tr><td>3</td><td>-3** = 0</td><td>43.00</td><td>0.00</td></tr><tr><td colspan="2">Multiple Dependent</td><td>145.00</td><td>0.00</td></tr></tbody></table>		Total Claims	Extra Claims	Fee from below	Fee Paid	41	-44** = 0	9.00	0.00	3	-3** = 0	43.00	0.00	Multiple Dependent		145.00	0.00																		
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**or number previously paid, if greater; For Reissues, see above																																			
SUBMITTED BY		(Complete if applicable)																																	
Name (Print/Type) Jie Zhou		Registration No. (Attorney/Agent)	52,395																																
Signature		Telephone	(650) 813-5922																																
		Date	August 16, 2004																																



PATENT
Docket No. 226272001403

CERTIFICATE OF HAND DELIVERY

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Dated:

August 24, 2004

Signature:

Shari Hall-White

Shari Hall-White

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

James M. ALLEN

Serial No.: 09/731,941

Filing Date: December 6, 2000

For: PACKAGING CELL LINES FOR
GENERATION OF HIGH TITERS OF
RECOMBINANT AAV VECTORS

Examiner: B. Whiteman

Group Art Unit: 1635

**SUPPLEMENTAL INFORMATION DISCLOSURE
STATEMENT UNDER 37 C.F.R. § 1.97 & 1.98**

U.S. Patent and Trademark Office
220 20th Street South
Customer Window, Mail Stop Amendment
Crystal Plaza Two, Lobby,
Room 1B03
Arlington, VA 22202

Dear Sir:

Pursuant to 37 C.F.R. § 1.97 and § 1.98, Applicant submits for consideration in the above-identified application the documents listed on the attached Form PTO-1449. Copies of the documents are also submitted herewith. The Examiner is requested to make these documents of record.

08/25/2004 SSESHE1 00000049 031952 09731941

01 FC:1806 180.00 DA

pa-907734

Applicant would like to bring to the attention of the Examiner documents numbered 1-10, 97, and 98 on the attached PTO Form-1449 of which copies are not being submitted herewith.

These documents are co-pending related applications and are listed below:

Application Serial No. 09/561,190 filed April 27, 2000, by D.H. Lockert et al.,

Application Serial No. 09/578,561 filed May 25, 2000, by S. Rasty et al.,

Application Serial No. 09/665,852 filed September 20, 2000 by J.M. Wilson et al.,

Application Serial No. 09/684,554 filed October 6, 2000 by J.F. Engelhardt et al.,

Application Serial No. 09/689,136 filed October 12, 2000 by J.F. Engelhardt et al.,

Application Serial No. 09/689,430 filed October 12, 2000 by C.E. Walsh et al.,

Application Serial No. 10/375,777 filed February 26, 2003 by P.R. Johnson,

Application Serial No. 10/815,262 filed March 31, 2004 by J.F. Engelhardt et al.,

Application Serial No. 10/815,557 filed March 31, 2004 by J.F. Engelhardt et al.,

Application Serial No. 10/837,029 filed April 30, 2004 by J.F. Engelhardt et al.,

PCT Application Serial No. PCT/US2004/009950 filed March 31, 2004 by J.F. Engelhardt et al., and

PCT Application Serial No. PCT/2004/010045 filed March 31, 2004 by J.F. Engelhardt et al.

This Supplemental Information Disclosure Statement is submitted:

- ☐ With the application; accordingly, no fee or separate requirements are required.
- ☐ Before the mailing of a first Office Action after the filing of a Request for Continued Examination under § 1.114. However, if applicable, a certification under 37 C.F.R. § 1.97(e)(1) has been provided.
- ☐ Within three months of the application filing date or before mailing of a first Office Action on the merits; accordingly, no fee or separate requirements are required. However, if applicable, a certification under 37 C.F.R. § 1.97(e)(1) has been provided.
- ☒ After receipt of a first Office Action on the merits but before mailing of a final Office Action or Notice of Allowance.
 - ☐ A fee is required. A check in the amount of ___ is enclosed.
 - ☒ A fee is required. Accordingly, a Fee Transmittal form (PTO/SB/17) is attached to this submission in duplicate.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided above; accordingly, no fee is believed to be due.
- ☐ After mailing of a final Office Action or Notice of Allowance, but before payment of the issue fee.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided above and a check in the amount of ___ is enclosed.
 - ☐ A Certification under 37 C.F.R. § 1.97(e) is provided above and a Fee Transmittal form (PTO/SB/17 is attached to this submission in duplicate.)

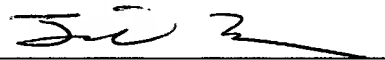
Applicant would appreciate the Examiner initialing and returning the Form PTO-1449, indicating that the information has been considered and made of record herein.

The information contained in this Supplemental Information Disclosure Statement under 37 C.F.R. § 1.97 and § 1.98 is not to be construed as a representation that: (i) a complete search has been made; (ii) additional information material to the examination of this application does not exist; (iii) the information, protocols, results and the like reported by third parties are accurate or enabling; or (iv) the above information constitutes prior art to the subject invention.

In the unlikely event that the transmittal form is separated from this document and the Patent Office determines that an extension and/or other relief (such as payment of a fee under 37 C.F.R. §1.17(p)) is required, Applicant petitions for any required relief including extensions of time and authorizes the Commissioner to charge the cost of such petitions and/or other fees due in connection with the filing of this document to **Deposit Account No. 03-1952** referencing **226272001403**. However, the Commissioner is not authorized to charge the cost of the issue fee to the Deposit Account.

Dated: August 16, 2004

Respectfully submitted,

By: 
Jie Zhou
Registration No. 52,395

Morrison & Foerster LLP
755 Page Mill Road
Palo Alto, California 94304-1018
Telephone: (650) 813-5922
Facsimile: (650) 494-0792

Form PTO-1449 INFORMATION DISCLOSURE CITATION IN AN APPLICATION <i>(Use several sheets if necessary)</i>	Docket Number 226272001403	Application Number 09/731,941
	Applicant James M. ALLEN	
	Filing Date December 6, 2000	Group Art Unit 1635
	Hand Delivered on August 24, 2004	

U.S. PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Name	Class	Subclass	Filing Date If Appropriate
	1.	04/27/2000	09/561,190	Lockert et al.			
	2.	05/25/2000	09/578,561	Rasty et al.			
	3.	09/20/2000	09/665,852	Wilson et al.			
	4.	10/06/2000	09/684,554	Engelhardt et al.			
	5.	10/12/2000	09/689,136	Engelhardt et al.			
	6.	10/12/2000	09/689,430	Walsh et al.			
	7.	02/26/2003	10/375,777	Johnson			
	8.	03/31/2004	10/815,262	Engelhardt et al.			
	9.	03/31/2004	10/815,557	Engelhardt et al.			
	10.	04/30/2004	10/837,029	Engelhardt et al.			
	11.	07/05/2001	2001/0006955	Wilson et al.			
	12.	03/28/2002	2002/0037867	Wilson et al.			
	13.	09/12/2002	2002/0127582	Atkinson et al.			
	14.	10/31/2002	2002/0160501	Atkinson et al.			
	15.	12/05/2002	2002/0182182	Wilson et al.			
	16.	12/26/2002	2002/0197237	Engelhardt et al.			
	17.	02/27/2003	2003/0040101	Wilson et al.			
	18.	04/17/2003	2003/0073232	Wilson et al.			
	19.	05/01/2003	2003/0082145	Johnson			
	20.	06/05/2003	2003/0103939	Engelhardt et al.			
	21.	06/05/2003	2003/0103942	Burstein et al.			
	22.	06/19/2003	2003/0113295	Burstein et al.			
	23.	06/26/2003	2003/0119191	Gao et al.			
	24.	11/27/2003	2003/0219735	Carter			
	25.	03/18/2004	2004/0052764	Hildinger et al.			
	26.	03/25/2004	2004/0057931	Wilson et al.			

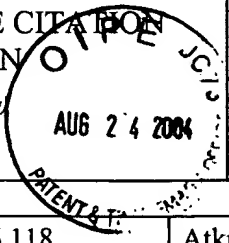
EXAMINER:

DATE CONSIDERED:

EXAMINER: Initial if citation considered, whether or not the citation conforms with MPEP 609. Draw a line through the citation if not in conformance and not considered. Include a copy of this form with next communication to applicant.

Form PTO-1449				Docket Number 226272001403		Application Number 09/731,941	
INFORMATION DISCLOSURE CITATION IN AN APPLICATION <i>(Use several sheets if necessary)</i>				Applicant James M. ALLEN			
				Filing Date December 6, 2000		Group Art Unit 1635	
Hand Delivered on August 24, 2004							
	27.	03/25/2004	2004/0057932	Wilson et al.			
	28.	03/25/2004	2004/0057933	Wilson et al.			
	29.	04/01/2004	2004/0062752	Walsh et al.			
	30.	07/29/1997	5,652,224	Wilson et al.			
	31.	07/28/1998	5,786,211	Johnson			
	32.	01/12/1999	5,858,775	Johnson			
	33.	02/02/1999	5,866,552	Wilson et al.			
	34.	02/02/1999	5,866,696	Carter et al.			
	35.	02/16/1999	5,871,982	Wilson et al.			
	36.	02/16/1999	5,872,154	Wilson et al.			
	37.	11/23/1999	5,989,540	Carter et al.			
	38.	11/23/1999	5,990,279	Carter et al.			
	39.	12/26/2000	6,165,781	Carter et al.			
	40.	01/16/2001	6,174,527	Wilson et al.			
	41.	04/03/2001	6,211,160	Wilson et al.			
	42.	06/26/2001	6,251,677	Wilson et al.			
	43.	06/26/2001	6,251,957	Wilson et al.			
	44.	07/10/2001	6,258,595	Gao et al.			
	45.	07/17/2001	6,261,551	Wilson et al.			
	46.	08/07/2001	6,270,996	Wilson et al.			
	47.	08/14/2001	6,274,354	Wilson et al.			
	48.	08/28/2001	6,281,010	Gao et al.			
	49.	04/26/2002	6,372,208	Wilson et al.			
	50.	05/14/2002	6,387,368	Wilson et al.			
	51.	06/04/2002	6,399,385	Croyle et al.			
	52.	11/05/2002	6,475,769	Wilson et al.			
	53.	11/26/2002	6,485,966	Gao et al.			
	54.	03/25/2003	6,537,540	Burstein et al.			
	55.	04/01/2003	6,541,258	Allen et al.			
EXAMINER:				DATE CONSIDERED:			
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PTO/SB/ 08 (2-92) pa- 907748				Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE			

Form PTO-1449 INFORMATION DISCLOSURE CITATION IN AN APPLICATION <i>(Use several sheets if necessary)</i>	Docket Number 226272001403	Application Number 09/731,941
Applicant James M. ALLEN		
Filing Date December 6, 2000		Group Art Unit 1635
Hand Delivered on August 24, 2004		



	56.	05/20/2003	6,566,118	Atkinson et al.			
	57.	07/22/2003	6,596,535	Carter			
	58.	07/06/2003	6,759,237	Wilson et al.			

FOREIGN PATENT DOCUMENTS

Examiner Initials	Ref. No.	Date	Document No.	Country	Class	Subclass	Translation YES NO	
	59.	12/09/1993	WO 93/24641 ✓	WIPO				
	60.	12/21/1995	WO 95/34670 ✓	WIPO				
	61.	05/09/1996	WO 96/13598 ✓	WIPO				
	62.	06/13/1996	WO 96/17947 ✓	WIPO				
	63.	08/29/1996	WO 96/26285 ✓	WIPO				
	64.	08/29/1996	WO 96/26286 ✓	WIPO				
	65.	12/12/1996	WO 96/39530 ✓	WIPO				
	66.	12/12/1997	WO 97/32990 ✓	WIPO				
	67.	03/12/1998	WO 98/09656 ✓	WIPO				
	68.	03/12/1998	WO 98/09657 ✓	WIPO				
	69.	03/12/1998	WO 98/10086 ✓	WIPO				
	70.	03/12/1998	WO 98/10088 ✓	WIPO				
	71.	06/25/1998	WO 98/27204 ✓	WIPO				
	72.	06/25/1998	WO 98/27207 ✓	WIPO				
	73.	03/11/1999	WO 99/11764 ✓	WIPO				
	74.	03/25/1999	WO 99/14351 ✓	WIPO				
	75.	04/01/1999	WO 99/15677 ✓	WIPO				
	76.	04/01/1999	WO 99/15685 ✓	WIPO				
	77.	04/29/1999	WO 99/20773 ✓	WIPO				
	78.	04/29/1999	WO 99/20779 ✓	WIPO				
	79.	09/23/1999	WO 99/47691 ✓	WIPO				
	80.	11/25/1999	WO 99/60146 ✓	WIPO				

EXAMINER:	DATE CONSIDERED:
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		Filing Date December 6, 2000	Group Art Unit 1635
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* 81.	03/16/2000	WO 00/14205	WIPO				
82.	05/18/2000	WO 00/28061 /	WIPO				
83.	09/21/2000	WO 00/55342 /	WIPO				
84.	11/02/2000	WO 00/65038 /	WIPO				
85.	12/07/2000	WO 00/73480 /	WIPO				
86.	12/07/2000	WO 00/73481 /	WIPO				
87.	12/14/2000	WO 00/75353 /	WIPO				
88.	12/14/2000	WO 00/75365 /	WIPO				
89.	02/15/2001	WO 01/11034 /	WIPO				
90.	04/05/2001	WO 01/23001 /	WIPO				
91.	04/12/2001	WO 01/25462 /	WIPO				
92.	04/12/2001	WO 01/25465 /	WIPO				
93.	04/19/2001	WO 01/27303 /	WIPO				
94.	11/08/2001	WO 01/83692 /	WIPO				
95.	11/08/2001	WO 01/83730 /	WIPO				
96.	01/23/2003	WO 03/006616 /	WIPO				
* 97.	03/31/2004	PCT/US2004/009950	WIPO				
* 98.	03/31/2004	PCT/US2004/010045	WIPO				

OTHER DOCUMENTS *(including author, title, Date, Pertinent Pages, Etc.)*

Examiner Initials	Ref. No.	Title

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EXAMINER:

DATE CONSIDERED:

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